

LISTING OF THE PENDING CLAIMS

1. (Currently Amended) A system for enabling a portfolio manager to obtain credit approval for an issuer of securities from a credit analyst comprising:

- a) a first database containing issuer information;
- b) a second database containing compliance rules providing guidelines for the purchase of securities for selected portfolios;
- c) means for permitting a portfolio manager to determine whether an issuer is on a list of approved issuers for a selected portfolio based upon the compliance rules contained in the second database;
- d) means for permitting a portfolio manager to submit a credit approval request to a credit analyst if it is determined that an issuer is not on a list of approved issuers for a selected portfolio;
- e) means for permitting a credit analyst to evaluate the credit approval request submitted by the portfolio manager based on the issuer information contained in the first database; and
- f) means for permitting the credit analyst to resolve the credit approval request on behalf of the portfolio manager.

2. (Original) A system as recited in claim 1, further comprising means for broadcasting the credit approval request to the credit analyst for evaluation.

3. (Original) A system as recited in claim 1, further comprising means for providing the portfolio manager with status messages indicating the status of a credit approval request.

4. (Original) A system as recited in claim 3, wherein the means for providing the portfolio manager with status messages includes a graphical display providing color-coded status messages.

5. (Original) A system as recited in claim 1, wherein the issuer information contained in the database includes objective data and subjective data.

6. (Original) A system as recited in claim 1, wherein the means for submitting a credit approval request includes a graphical user interface having a data entry field for entering a description of the request.

7. (Original) A system as recited in claim 6, wherein the graphical user interface permits a portfolio manager to assign a degree of relative importance to the credit approval request in a data field.

8. (Original) A system as recited in claim 1, wherein the means for permitting the credit analyst to resolve the credit approval request includes a graphical user interface accessible by the credit analyst for specifying a resolution to the credit approval request in a data field.

9. (Original) A system as recited in claim 8, wherein the graphical user interface is adapted and configured to permit the credit analyst to resolve the credit approval request by adding an issuer to at least one list of approved issuers.

10. (Currently Amended) A system for enabling a portfolio manager to obtain credit approval for an issuer of securities from a credit analyst comprising:

a) means for determining whether an issuer of securities is on a list of approved issuers for a selected portfolio, based upon a set of compliance rules for guiding the purchase of securities for the selected portfolio;

ab) means for submitting a credit approval request to a credit analyst if it is determined that an issuer of securities is not on a list of approved issuers for a selected portfolio;

bc) means for monitoring the status of the credit approval request;

ed) means for managing the status of the credit approval request; and

de) means for resolving the credit approval request on behalf of the portfolio manager.

11. (Original) A system as recited in claim 10, wherein the means for submitting a credit approval request for an issuer includes a graphical user interface accessible by a portfolio manager for entering a description of the request in a data field.

12. (Original) A system as recited in claim 11, wherein the graphical user interface permits a portfolio manager to assign a degree of relative importance to the credit approval request in a data field.

13. (Original) A system as recited in claim 10, wherein the means for monitoring the status of the credit approval request includes a graphical display viewable by a portfolio manager.

14. (Original) A system as recited in claim 13, wherein the graphical display provides color-coded status messages viewable by the portfolio manager.

15. (Original) A system as recited in claim 10, wherein the means for managing the status of the credit approval request includes a graphical user interface accessible by the credit analyst for specifying the status of the credit approval request in a data field.

16. (Original) A system as recited in claim 10, wherein the means for resolving the credit approval request includes a graphical user interface accessible by the credit analyst for specifying a resolution to the credit approval request in a data field.

17. (Currently Amended) A method of providing credit approval comprising the steps of:

- a) receiving a credit approval request from a portfolio manager relating to an issuer of securities after it has been determined by the portfolio manager that the issuer of securities is not on a list of approved issuers for a selected portfolio based upon a set of compliance rules for guiding the purchase of securities for the selected portfolio;
- b) evaluating the credit approval request based upon objective and subjective information stored in a database;
- c) managing the status of the credit approval request; and
- d) resolving the credit approval request on behalf of the portfolio manager by adding the issuer of securities to at least one list of approved issuers.

18. (Canceled)

19. (Canceled)

20. (Original) A method according to claim 17, wherein the step of managing the status of the credit approval request includes communicating status messages to the portfolio manager.

21. (Original) A method according to claim 17, wherein the step of resolving the credit approval request includes communicating a resolution to the credit approval request to the portfolio manager.